



Substituted for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet	of	Complete if Known	
		Application Number	10/666,090
		Filing Date	September 19, 2003
		First Named Inventor	Robert C. Lam
		Group Art Unit	1771/Conf. #8977
		Examiner Name	
Attorney Docket Number		02074/BW02091	

U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number/Kind Code (if known)			
ABS		US- 4,451,590	05/20/1984	Fujimaki et al.	
		US- 4,524,169	06/18/1985	Wolff et al.	
		US- 4,700,823	10/20/1987	Winckler	
		US- 5,083,650	01/28/1992	Seiz et al.	
		US- 5,395,864	03/07/1995	Miyoshi et al.	
		US- 5,585,166	12/17/1996	Kearsey	
		US- 5,646,076	07/18/1997	Bortz	
		US- 5,662,993	09/27/1997	Winckler	
		US- 5,707,905	01/13/1998	Lam et al.	
		US- 5,753,356	05/19/1998	Lam et al.	
		US- 5,816,901	10/06/1998	Sirany	
		US- 5,856,244	01/05/1999	Lam et al.	
		US- 5,858,883	01/12/1999	Lam et al.	
		US- 5,952,249	09/14/1999	Gibson et al.	
		US- 5,958,507	09/28/1999	Lam et al.	
		US- 5,965,659	10/12/1999	Smith et al.	
V		US- 5,989,375	11/23/1999	Bortz	
		US- 5,989,390	11/23/1999	Lee	
		US- 5,998,307	12/07/1999	Lam et al.	

FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No.	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Country Code-Number-Kind Code (if known)				

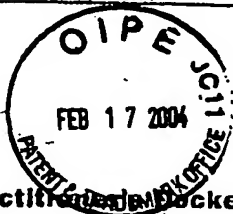
Examiner Signature	<i>AB Sperry</i>	Date Considered	4/27/05
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		Number/Kind Code (if known)			
RCS		US- 6,001,750	12/14/1999	Lam	
		US- 6,130,176	10/10/2000	Lam	
		US- 6,194,059	02/27/2001	Yesnik	
		US- 6,291,040	09/18/2001	Moriwaki et al.	
		US- 6,352,758	03/05/2002	Huang et al.	
		US- 6,387,531	05/14/2002	Bi et al.	
		US- 6,601,321	08/05/2003	Kendall	
		US- 6,630,416 B1	10/07/2003	Lam et al.	
		US- 10/234,976	09/04/2002	Chen et al.	
		US- 10/233,318	08/30/2002	Chen et al.	
		US- 10/218,019	08/13/2002	Lam et al.	
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		Country Code-Number-K Ind Code (if known)				

Examiner Signature	<i>AB Sperting</i>	Date Considered	4/27/05
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 Practitioner's Pocket No. 02074/BW02091
PATENT
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent application

of _____

Inventor(s)

for _____

Title of invention

the specification of which is being transmitted herewith

OR

In re application of: Robert C. Lam

Application No.: 010 /666,090 Group No.: 1771

Filed: September 19, 2003 Examiner:

For: HIGH COEFFICIENT FRICTION Confirmation No.: 8977

MATERIAL WITH SYMMETRICAL
FRICTION MODIFYING PARTICLES

Assistant Commissioner for Patents

Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT
CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10*
*(When using Express Mail, the Express Mail label number is mandatory;
Express Mail certification is optional.)*

I hereby certify that, on the date shown below, this correspondence is being:

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☒ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

37 C.F.R. § 1.8(a)

☐ with sufficient postage as first class mail.

37 C.F.R. § 1.10*

☒ as "Express Mail Post Office to Addressee"

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☐ transmitted by facsimile to the Patent and Trademark Office.
Date: 2/17/04
 Signature Kathy A. Hower

Kathy A. Hower

(type or print name of person certifying)(Information Disclosure Statement [8-1]—page 1 of 7)

NOTE: "An information disclosure statement shall be considered by the Office if filed by the applicant within any one of the following time periods:

(1) Within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d);

(2) Within three months of the date of entry of the national stage as set forth in § 1.491 in an international application;

(3) Before the mailing date of a first Office action on the merits; or

(4) Before the mailing date of a first Office action after the filing of a request for continued examination under § 1.114."

37 C.F.R. § 1.97(b).

NOTE: "Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section." 37 C.F.R. § 1.56(a).

"Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

(1) each inventor named in the application;

(2) each attorney or agent who prepares or prosecutes the application; and

(3) every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application." 37 C.F.R. § 1.56(c).

NOTE: The "duty as described in § 1.56 will be met so long as the information in question was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b)-(d) and 1.98 before issuance of the patent." Notice of January 9, 1992, 1135 O.G. 13 -25 at 17.

WARNING: "No information disclosure statement may be filed in a provisional application." 37 C.F.R. § 1.51(d).

List of Sections Forming Part of This Information Disclosure Statement

The following sections are being submitted for this Information Disclosure Statement:

(check sections forming a part of this statement; discard unused sections and number pages consecutively)

1. ☒ Preliminary Statements
2. ☒ FORMS PTO/SB/08A and 08B (formerly FORM PTO-1449)
3. ☐ Statement as to Information Not Found in Patents or Publications
4. ☐ Identification of Prior Application in Which Listed Information Was Already Cited and for Which No Copies Are Submitted or Need Be Submitted
5. ☐ Cumulative Patents or Publications
6. ☒ Copies of Listed Information Items Accompanying This Statement
7. ☐ Concise Explanation of Non-English Language Listed Information Items
 - 7A. ☐ EPO Search Report
 - 7B. ☐ English Language Version of EPO Search Report
8. ☐ Translation(s) of Non-English Language Documents
9. ☐ Concise Explanation of English Language Listed Information Items (Optional)
10. ☒ Identification of Person(s) Making This Information Disclosure Statement

(complete the following, if appropriate)

Sections _____, respectively, have been continued on ADDED PAGE(S).

NOTE: "Once the minimum requirements are met, the examiner has an obligation to consider the information." Notice of April 20, 1992 (1138 O.G. 37-41, 37).

(Information Disclosure Statement [6-1]—page 2 of 7)

Section 1. Preliminary statements

Applicants submit herewith patents, publications or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 C.F.R. § 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

Section 6. Copies of Listed Information Items Accompanying This Statement

NOTE: 37 C.F.R. § 1.98(a)(2) requires that any information disclosure statement filed under § 1.97 shall include:
"A legible copy of:

- (i) Each U.S. patent application publication and U.S. and foreign patent;
- (ii) Each publication or that portion which caused it to be listed;
- (iii) For each cited pending U.S. application, the application specification including the claims, and any drawing of the application, or that portion of the application which caused it to be listed including any claims directed to that portion. . ."

Legible copies of all items listed in Forms PTO/SB/08A and 08B (formerly Form PTO-1449) accompany this information statement.

(complete the following, if applicable)

- ☐ Exception(s) to above:
 - ☐ Items in prior application, from which an earlier filing date is claimed for this application, as identified in Section 4.
 - ☐ Cumulative patents or publications identified in Section 5.

(Information Disclosure Statement—Section 6. Copies of Listed Information Items Accompanying
This Statement [6-1]—page 6 of 7)

Section 10. Identification of Person(s) Making This Information Disclosure Statement

The person making this statement is

(check each applicable item)

- (a) ☐ the inventor(s) who signs below

SIGNATURE OF INVENTOR

(type name of inventor who is signing)

- (b) ☐ an individual associated with the filing and prosecution of this application (37 C.F.R. § 1.56(c))

SIGNATURE OF INVENTOR

(type name of inventor who is signing)

- (c) ☒ the practitioner who signs below on the basis of the information:

(check each applicable item)

- ☒ supplied by the inventor(s).
☒ supplied by an individual associated with the filing and prosecution of this application. (37 C.F.R. § 1.56(c))
☒ in the practitioner's file.

Reg. No.: 31,854

Tel. No.: (419) 243-1294

Customer No.:

Catherine B. Martineau
SIGNATURE OF PRACTITIONER

Catherine B. Martineau
(type or print name of practitioner)

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(Information Disclosure Statement—Section 10. Identification of Person(s) Making This Information Disclosure Statement [6-1]—page 7 of 7)